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Date	July 15, 2005	Client-Matter	74622-060	Fax Transmittal	
Total Pages (Including Cover)			3		
From	John C. Stellabotte				
Sender's Voice Number	212.969.3413	Sender's Room Number	17-44		
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To:	Examiner: Charles R. Kyle	Fax No.:	703-872-9306		
Company:	United States Patent and Trademark Office - Group Art Unit 3624			Voice No.:	(571)272-6746
Message					

Re: Inventor : Mark C. Zeltoun
Serial No. : 10/825,156
Filing Date : April 16, 2004
Title : FINANCIAL INVESTMENT ADVICE SYSTEM AND METHOD
Att'y Docket : 74622-060

Attached please find the following:

- 1) Power of Attorney and Correspondence Address Indication Form
- 2) Statement Under 37 CFR 3.73(b)

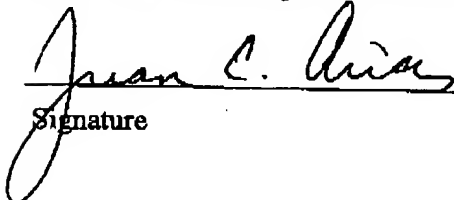
Please contact John C. Stellabotte at (212) 969-3413 if you have any questions.

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POWER OF ATTORNEY and CORRESPONDENCE ADDRESS INDICATION FORM	Application Number	10/825,158
	Filing Date	April 18, 2004
	First Named Inventor	Mark C. Zeltoun
	Title	FINANCIAL INVESTMENT ADVICE SYSTEM AND METHOD
	Art Unit	3824
	Examiner Name	Charles R. Kyle
Attorney Docket Number		74622-080

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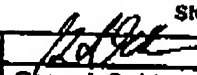
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I am the:

☐ Applicant/Inventor.

☒ Assignee of record of the entire interest. See 37 CFR 3.71. Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/06)

SIGNATURE of Applicant or Assignee of Record

Signature		Date	7/14/05
Name	Gregg J. Goldman	Telephone	203.719.3099
Title and Company	Director and Senior Counsel, UBS Financial Services, Inc.		

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

☐ *Total of _____ forms are submitted.

This collection of information is required by 37 CFR 1.31 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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STATEMENT UNDER 37 CFR 3.73(b)Applicant/Patent Owner: Marc C. Zeitoun, et al.Application No./Patent No.: 10/825,156 Filed/Issue Date: April 16, 2004Entitled: **FINANCIAL INVESTMENT ADVICE SYSTEM AND METHOD**UBS Financial Services, Inc. a Corporation
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

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2. ☐ an assignee of less than the entire right, title and interest.
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In the patent application/patent identified above by virtue of either:

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B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

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☐ Copies of assignments or other documents in the chain of title are attached.

(NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08)

The undersigned (whose title is specified below) is authorized to act on behalf of the assignee.

Signature

Gregg I. Goldman

Printed or Typed Name

Director and Senior Counsel, UBS Financial Services, Inc.

Title

Date

7/16/05
203 719 3099

Telephone Number

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